

**Environmental Management Consolidated Business Center (EMCBC)****Subject: File Plan Creation and Maintenance**Policies, Procedures
and PlansAPPROVED: (Signature on File)
EMCBC Director**1.0 PURPOSE**

The purpose of this procedure is to define how the U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC) shall develop, implement and maintain a file plan that describes all categories of records created, received and maintained by each organizational unit. This procedure also provides the framework for creation of a records file plan at EMCBC Service Level Agreement (SLA) sites, at their discretion.

2.0 SCOPE

Records are managed by using the theory that records pass through three stages: creation/receipt, maintenance/use and disposition. This procedure, along with the Identifying, Filing, and Maintaining Records and Vital Records Identification and Protection procedures, covers the first two stages of the records lifecycle (creation/receipt and maintenance/use). Records Disposition shall be covered in a separate procedure(s). The file plan is crucial to the Vital Records and Records Disaster, Prevention, Mitigation and Recovery Programs.

3.0 APPLICABILITY

This procedure applies to all EMCBC organizations and may be adopted by Service Level Agreement (SLA) sites, at their discretion.

4.0 REQUIREMENTS and REFERENCES**4.1 REQUIREMENTS**

- 4.1.1 44 U.S.C. 2901 through 2909 governs records management by NARA and the General Services Administration (GSA).
- 4.1.2 44 U.S.C. 3101 through 3107 governs records management by Federal Agencies.
- 4.1.3 18 U.S.C. 2071 describes penalties for willfully and unlawfully destroying, damaging, or removing Federal records.
- 4.1.4 36 CFR, Chapter XII provides regulations implementing the U.S.C.

- 4.1.5 DOE O 243.1, Records Management Program, dated 2-3-06
- 4.1.6 DOE O 243.2, Vital Records, dated 2-2-06
- 4.1.7 44 U.S.C., Chapters 21, 29, 33, and 35
- 4.1.8 DOE O 471.3, Identifying and Protecting Official Use Only, dated 4-9-03
- 4.1.9 DOE O 471.1A, Identification and Protection of Unclassified Controlled Nuclear Information, dated 6-30-00

4.2 REFERENCES

- 4.2.1 NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules
- 4.2.2 Records Management section of the DOE Chief Information Officer Web site
- 4.2.3 U.S. Department of Energy, Office of Chief Information Officer, "Records Management Handbook", dated September 2006
- 4.2.4 DOE M 470 4-4, Information Security, dated 8-26-05

▲ Note: DOE M 470 4-4 is only required if classified documents are involved. The EMCBC does not have classified documents, but a SLA site may.
- 4.2.5 *EMCBC Records Management Policy*, PS-243-01, dated March 5, 2007
- 4.2.6 *EMCBC Identifying, Filing and Maintaining Records*, IP-243-03, Rev. 1, dated 3/12/07.
- 4.2.7 *EMCBC Vital Records Identification and Protection*, IP-243-02, Rev. 1, dated 3/12/07

5.0 DEFINITIONS

- 5.1 Adequate and Proper Documentation. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.

- 5.2 Cutoff Date. Date upon which the file is ended in order to permit its disposal or transfer for correspondence, to permit the establishment of new files.
- 5.3 Destruction. Eliminate from a system a group of records in compliance with the appropriate records retention schedule so that they cannot be accessed, retrieved or recovered.
- 5.4 Disposition. Those actions taken regarding records no longer needed for the conduct of the regular current business of the creator. These actions include transfer to storage facilities or records centers, transfer of physical and/or legal custody to NARA, and destruction.
- 5.5 Disposition Authority. DOE Record Control Schedule, which provides mandatory instructions for the disposition of the records when they are no longer needed by the Agency.
- 5.6 File Plan. A file plan is a comprehensive outline that defines the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records.
- 5.7 Inventory. An inventory provides upfront Records Management and provides a useful tool for segregating and disposing of nonrecord material when it is no longer needed. Consequently, the inventory creates an accurate description of the records in each organization unit and serves as the first step in developing a complete file management and disposition program for the organization and provides an annual review of records to support the master file plan.
- 5.8 Nonrecord. U.S. Government-owned documentary materials excluded from the legal definition of records, either by failing to meet the general conditions of record status already described, or by falling under one of three specific categories: Extra copies of documents preserved only for convenience of reference, stocks of publications and of processed documents or library or museum material made or acquired and preserved solely for reference or exhibition purposes.
- 5.9 Official Use Only (OUO). Certain unclassified information that may be exempt from release under the FOIA. Detailed identification and protection requirements are contained in DOE O 471.3, *Identifying and Protecting Official Use Only Information*, dated 4-9-03, and DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, dated 4-9-03.
- 5.10 Permanent Records. Records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government.
- 5.11 Record. "...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for

preservation by the Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of the data in them.” (44 U.S.C. 3301, Definition of Records).

- 5.12 Records Control Schedule. Provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the agency.
- 5.13 Records Custodian. Person appointed by his/her Assistant Director to maintain organizational unit records and to ensure that information is managed in accordance with Records Management procedures. They are responsible to administratively control the records of all assigned record holders within the organizational unit.
- 5.14 Record Holder. A person who is responsible for maintaining records within his/her personal workspace. All records in the possession of a record holder are administratively managed by a Record Custodian.
- 5.15 Record Series. A group of related files kept together as a unit because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have a relationship arising from their creation, receipt, or use.
- 5.16 Retention Period. The retention period is the mandatory amount of time a record must be saved before it can be destroyed and is based on the Records Control Schedule.
- 5.17 Temporary Records. Records approved by NARA for destruction, either immediately or after a specified retention period.
- 5.18 Unclassified Controlled Nuclear Information (UCNI). Certain unclassified but sensitive information concerning nuclear material, weapons, and components, the distribution of which is controlled under section 148 of the Atomic Energy Act. Detailed information and protection requirements are contained in DOE O 471.1A, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 6-30-00, and DOE M 471.1-1, *Identification and Protection of Unclassified Controlled Nuclear Information Manual*, dated 10-23-01.
- 5.19 Uniform File Code. A numbered file structure used by the EMCBC, which provides a uniform system for filing records, consistent with the DOE Record Control Schedules.
- 5.20 Vital Records. Are those emergency operating records and legal and financial rights records required during and after an emergency or as part of the recovery from a disaster?

6.0 RESPONSIBILITIES

6.1 Assistant Directors

- 6.1.1 Appoint Records Custodian to implement and coordinate file plan creation and maintenance activities within their organizational unit and ensure compliance with the EMCBC Records Management procedures.

6.2 Records Management Field Officer (RMFO)

- 6.2.1 Ensure Record Custodians are properly trained in the creation, maintenance and use of a file plan.
- 6.2.2 Ensure all EMCBC records have been inventoried, correctly scheduled for disposition and incorporated into the EMCBC File Plan.

6.3 Records Management Team

- 6.3.1 Assist Records Custodian with file plan questions and provide support to Records Custodian with the creation of their organizational unit File plan, as needed.
- 6.3.2 Review each organizational unit file plan, finalize file plan by updating required data (Disposition Authority and Retention Period), and post the final EMCBC Master File Plan on the EMCBC Intranet.
- 6.3.3 Ensure an electronic and hard copy of the EMCBC Master File Plan is part of the EMCBC Vital Records Program.

6.4 Records Custodian

- 6.4.1 Ensure that all records have been identified and inventoried within the organizational unit and data incorporated into the organizational unit file plan.

▲ See EMCBC Identifying, Filing and Maintaining Records, IP-243-03, Rev. 1, for information on identifying records.

- 6.4.2 Provide the Records Management Team with any changes and/or additions to their organizational unit file plan.

6.5 EMCBC Personnel

- 6.5.1 Responsible for maintaining the records in their work areas, ensuring that records in their custody are provided to the Records Custodian for filing in the designated filing area, and for consulting with their Records custodian when guidance is needed on records-related issues.

7.0 GENERAL INFORMATION

File plans specify how records are to be organized once they have been created or received, provide a “roadmap” to the records created and maintained by an organizational unit, and facilitate dispositioning the records. The file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of records disposition schedules.

A file plan lists the records in your office, and describes how they are organized and maintained. A good file plan is one of the essential components of a record-keeping system, and a key to a successful records management program. It will help you:

- Document your activities effectively
- Identify records consistently
- Retrieve records quickly
- Disposition records no longer needed
- Meet statutory and regulatory requirements

The file structure is the framework of your file plan; the EMCBC’s file structure (Uniform File Code [UFC]) is arranged based on the DOE record control schedules.

A comprehensive file plan provides a “location” for each record in an electronic or paper filing system. Understanding the file plan helps users know where to file their records and helps others know where to find the records they need to complete their tasks.

Creating the file plan requires an inventory of all work and storage spaces. The final product will be a complete listing of all records maintained by your organizational unit.

The file plan is created by detailing the file series of the records in your organizational unit, as well as information about how they are managed and by whom.

When creating the file plan, keep in mind that someone else may need to use it in the future. Therefore, avoid using jargon, information titles, abbreviations or proper names of current office holders to describe the records.

8.0 PROCEDURE

8.1 Records Custodian

- 8.1.1 Determine what records are in your organizational unit, where they are located and who is responsible for them.
- 8.1.2 When the records have been identified, begin your inventory. The information is collected at the file series level (by UFC) and incorporated into a file plan.

- Utilize Form #IP-243-04-F1, *EMCBC File Plan* when conducting the inventory to help ensure consistent and complete data collection. A sample File Plan is shown in Attachment A.

8.1.3 Complete the following steps on Form #IP-243-04-F1, *EMCBC File Plan* for each location and file series within your organizational unit:

▼ Note: When records are centrally located within an organizational unit, only one entry per file series is needed. If records are decentralized within the organizational unit, an entry is needed for each file series in each location (e.g., office). See EMCBC Identifying, Filing and Maintaining Records, IP-243-03, Rev. 1, for information on centralized vs. decentralized filing.

- 8.1.3.1 Uniform File Code – numbered file structure used by the EMCBC, which provides a uniform system for filing records, consistent with the DOE Record Control Schedules.
- 8.1.3.2 Series Title – a specific, descriptive title. A relevant records retention and disposition schedule can also be used to arrive at appropriate records series titles (e.g., UFC title). Titles should denote the subject, function, and/or form of the record. (e.g., property disposal records)
- 8.1.3.3 Series Description – a more detailed description of the records (e.g., property disposal certificates)
- 8.1.3.4 Location – where the records are stored (e.g., floor, room, file cabinet, drawer)
- 8.1.3.5 Volume – quantity of records; either in cubic feet or number of file folders
- 8.1.3.6 Date Range – beginning and end date of records (e.g., first record date and last record date)
- 8.1.3.7 File Cutoff – date when records are closed or no longer needed for business (e.g., could be Fiscal Year, Calendar year, end of project/event driven, etc.)
- 8.1.3.8 Record Holder – Person actually holding records, if other than Record Custodian.
- 8.1.3.9 Medium - material on which data is stored or printed, e.g. paper, tape, or disk
- 8.1.3.10 Record Status – active or inactive

8.1.3.11 Notes and/or Special Handling - Access restrictions, vital records status, etc.

▼ During the inventory/file creation process, decisions will need to be made on how the records are maintained. For example, you may need to determine:

- Who is responsible for the “official record” and who only has the convenience copies?
- Are “drafts” or “working files” included in the record?
- Is the record copy maintained in a paper or electronic recordkeeping system?
- Should reference materials be centralized?
- Which of the records are considered vital records?
 - See Vital Records Identification and protection procedure, IP-243-02, Rev. 1

The file plan is a “living” document that should reflect changes to the office (e.g., departing employees, office moves, etc.).

8.1.4 When the inventory has been completed and the data incorporated on Form #IP-243-04-F1, *EMCBC File Plan*, transmit the electronic version of the file plan to the Records Management Team for review.

8.1.5 Provide the Records Management Team with any changes and/or additional to their organizational unit file plan, as needed.

8.2 Records Management Team

8.2.1 Review each organizational unit file plan to ensure all information has been completed.

8.2.2 Complete the following steps on Form #IP-243-04-F1, *EMCBC File Plan*:

8.2.2.1 Disposition Authority – DOE Record Control Schedule, which provides mandatory instructions for the disposition of the records when they are no longer needed by the Agency.

8.2.2.2 Retention Period – period of time that is dictated in the DOE Record Control Schedules that a record needs to be held prior to destruction.

8.2.3 Consolidate all organizational unit file plans and post the EMCBC File Plan on the EMCBC Intranet.

▲ Note: The file plan only shows file series, not each folder; therefore the information provided is not considered sensitive in nature.

8.2.4 Update and repost the updated EMCBC File Plan, as needed.

8.2.5 Maintain and electronic and hard copy of the EMCBC File Plan as part of the EMCBC Vital Records Program.

File cut offs and records disposition tasks are part of the third and final stage of the records life cycle. These tasks will be described in a separate procedure(s) covering Records Disposition.

9.0 RECORDS MAINTENANCE

9.1 Records generated as a result of implementing this procedure are identified as follows, and are maintained by the Office of Logistics Management:

9.1.1 EMCBC Master File Plan

10.0 FORMS USED

10.1 IP-243-04-F1, *EMCBC File Plan*

11.0 ATTACHMENTS

11.1 Attachment A, EMCBC File Plan Template - Sample

EMCBC RECORD OF REVISION**DOCUMENT**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Initial Procedure	All	03/09/07

EMCBC File Plan

Organization:											Date Prepared:		
Record Custodian:					File Location (Building):						Approved by and date:		
UFC	Series Title	Series Description	Location (Floor, Room, Office, Drawer)	Vol.	Cubic Feet / File Folder	Date Range	File Cutoff	Disposition Authority (DOE Record Control Schedule)	Retention Period	Record Holder	Medium	Record Status	Notes and/or Special Handling

EMCBC File Plan

Organization: Office of Logistics Mgmt											Date Prepared: 2/7/2007		
Record Custodian: Joanne Merritt					File Location (Building): Chiquita Building, 6 th Floor						Approved by and date:		
UFC	Series Title	Series Description	Location (Floor, Room, Office, Drawer)	Vol.	Cubic Feet / File Folder	Date Range	File Cutoff	Disposition Authority (DOE Record Control Schedule)	Retention Period	Record Holder	Medium	Record Status	Notes and/or Special Handling
2001	Time and Attendance Source Records	Time and Attendance records, e.g., time cards, flex time records, leave applications, etc.	6 th Floor, Room 681	20	<input type="checkbox"/> Cu. Ft. <input checked="" type="checkbox"/> File Folder		Calendar Year	ADM 2.7 (EPI)	6 years	Joanne Merritt	Paper	Active	Official Use Only
3001	Procurement / Supply / Grant	Real Property Files, Title, Acquisition of Real Property, Purchase, Condemnation, Donation, Exchange	6 th Floor, File Room 695	15	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder			ADM 3.1.a	75 years after unconditional sale or release	Tony LeDuc	Paper	Active	
4001	Property disposal Records	Property Disposal Correspondence	6 th Floor, File Room	5	<input type="checkbox"/> Cu. Ft. <input checked="" type="checkbox"/> File Folder	10/1/06 – Present	Fiscal Year	ADM 4.1	2 years old	Ken Lewis	Paper	Active	
11001	Space & Maintenance Records	Space & Maintenance General Correspondence	6 th Floor, File Room 693	2	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 11.1	2 years old	Tim Marcus	Paper	Active	
11002	Department Space Files	Building Plans, surveys & space assignments	6 th Floor, File Room 693	1	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Cut off when lease is terminated or when superceded / obsolete.	ADM 11.2.a	75 years after cut off	Tim Marcus	Paper	Active	
16107	Records Holdings Files	Records Held / Destroyed or Transferred	6 th Floor, File Room 681	2	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 16.4	1 years old	Joanne Merritt	Paper	Active	
16109	Records Management Files	Correspondence, reports & other information regarding records management	6 th Floor, File Room 681	6	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 16.7	6 years old	Joanne Merritt	Paper	Active	
18117	Visitor Control Files	Visitor sign-in registers/logs	6 th Floor, File Room 690	1	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 18.17	2 years old	Joanne Merritt	Paper	Active	
18118	Key Accountability Files	Key issuance logs	6 th Floor, File Room 690	1	<input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File	10/1/05-Present	Fiscal Year	ADM 18.16	6 months after key is turned in	Joanne Merritt	Paper	Active	

EMCBC File Plan

18201	Security Investigations	Pre-employment investigations	6 th Floor, File Room 690	2	Folder <input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 18.21.3	5 years old	Pat Vent	Paper	Active	Official Use Only
18301	Emergency Planning Admin Correspondence	Emergency Planning Admin (not program) correspondence	6 th Floor, File Room 681	2	Folder <input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	Fiscal Year	ADM 18.26	2 years old	Joanne Merritt	Paper	Active	
18303	Emergency Planning Case Files	Emergency Plans and related background documents	6 th Floor, File Room 681	1	Folder <input checked="" type="checkbox"/> Cu. Ft. <input type="checkbox"/> File Folder	10/1/05-Present	When plans are updated	ADM 18.27	3 years after new plan is issued	Joanne Merritt	Paper	Active	

Note: The above data is “sample data” only to show how a file plan should be completed.